

15992 U.S. PTO
020404

DOCKET NO.: SDS-0071

PATENT

22264 U.S. PTO
10/772103
020404

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re Application of:

Cyril Deretz

For: Method And System For Correlation Risk Hedging

EXPRESS MAIL LABEL NO: EV396265521US
DATE OF DEPOSIT: February 4, 2004

EV396265521US

☒ Mail Stop Patent Application ☐ Mail Stop Design ☐ Mail Stop Sequence
Commissioner for Patents
P.O. Box 1450
Alexandria, VA 22313-1450

Sir:

PATENT APPLICATION TRANSMITTAL LETTER

Transmitted herewith for filing, please find:

☒ A Utility Application under 37 CFR § 1.53(b).

The above-identified application includes the following:

☐ A Request for Nonpublication

☒ A Specification including claims and abstract on pages 1 to 17.

☐ A copy of the specification including claims and abstract (pages -) and drawings and appendixes (if any) of earlier Application No. filed , to which no new matter has been added. Such earlier application is hereby incorporated into the present application by reference.

☐ A New Unexecuted Declaration or Oath and Power of Attorney.

☒ A New Executed Declaration or Oath and Power of Attorney.

☐ A copy of the executed oath or declaration filed in the earlier application identified above is attached.

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- ☐ An Associate Power of Attorney executed by _____ who is listed in the copy of the executed Declaration and Power of Attorney filed herewith.
- ☐ A Copy of the Power of Attorney with Revocation filed in prior Application No. _____.
- ☐ Signed Statement deleting inventor(s) named in the prior application.
- ☐ This application claims foreign priority under 35 U.S.C. § 119 of Application No. _____ filed _____ in _____ (Country).
- ☐ A Certified Copy of each of the above applications for which priority is claimed:
 - ☐ _____ is enclosed.
 - ☐ _____ has been filed in prior Application No. _____ filed _____.
- ☒ 10 Sheets of Formal Drawings and/or Photographs.
- ☒ Figure 10 should be published.
- ☐ Petition to Accept Color Photographs is enclosed.
- ☐ This continuation/divisional application is assigned of record to _____ as evidenced by the assignment recorded on _____ at Reel No. _____ and Frame No. _____.
- ☐ A newly Executed Assignment transferring rights to _____.
 - ☐ A Recordation Form Cover Sheet.
 - ☐ Recordation Fee - \$40.00.
- ☐ A Preliminary Amendment is enclosed .
- ☐ A Sequence Listing consisting of pages 1- _____ .
 - ☐ Diskette containing Sequence Listing is enclosed.
 - ☐ The computer readable form in the above-identified application is identical with that filed in Application Number _____, filed _____. In accordance with 37 CFR § 1.821(e), please use the sequence listing filed on _____ and received by the PTO on _____ as the computer readable form filed in that application as the computer readable form for the instant application. It is understood that the Patent and Trademark Office will make the necessary change in application number and filing date for the computer readable form that will be used for the instant application.
 - ☐ A paper copy of the Sequence Listing:

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- ☐ was filed in the above-identified parent application on _____ and received by the PTO on _____.
- ☐ is included herewith in a separately filed preliminary amendment for incorporation into the specification.
- ☐ A Statement to Support Submission of Sequence Information is enclosed.
- ☒ Information Disclosure Statement including:
 - ☒ Form 1449.
 - ☒ Copy of Reference 1 listed on the attached Form PTO-1449.
- ☐ A copy of Petition for Extension of Time as filed in the prior case for copendency.
- ☐ Appended Material as follows: _____.
- ☒ Return Receipt Postcard (should be specifically itemized).

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FEE CALCULATION:

- ☐ Applicant(s) by its/their undersigned attorney, claims small entity status under 37 CFR § 1.27 as *(CHOOSE ONE: an Independent Inventor, a Small Business Concern, or a Nonprofit Organization).*

			SMALL ENTITY		NOT SMALL ENTITY	
			RATE	FEE	RATE	FEE
DESIGN APPLICATION BASE FEE			\$170.00		\$340.00	
UTILITY APPLICATION BASE FEE			\$385.00		\$770.00	\$770
UTILITY APPLICATION; ALL CLAIMS CALCULATED AFTER ENTRY OF ALL AMENDMENTS						
	No. Filed	No. Extra				
TOTAL NO. OF CLAIMS	20- 20 =	0	\$9 each		\$18 each	\$0
NO. OF INDEPENDENT CLAIMS	3- 3 =	0	\$43 each		\$86 each	\$0
MULTIPLE DEPENDENT CLAIM FEE			\$145		\$290	
ADDITIONAL FILING FEE						
TOTAL FILING FEE DUE				\$385		\$770

- ☐ A Check in the amount of \$.00 is attached. Please charge any deficiency or credit any overpayment to Deposit Account No. 23-3050.
- ☒ Please charge Deposit Account No. 23-3050 in the amount of \$770.00. This sheet is attached in duplicate.
- ☒ The Commissioner is hereby requested to grant an extension of time for the appropriate length of time, should one be necessary, in connection with this filing or any future filing submitted to the U.S. Patent and Trademark Office in the above-identified application during the pendency of this application. The Commissioner is further authorized to charge any fees related to any such extension of time to Deposit Account No. 23-3050. This sheet is provided in duplicate.
- ☒ Address all correspondence to Customer No. 23377.



23377

PATENT TRADEMARK OFFICE

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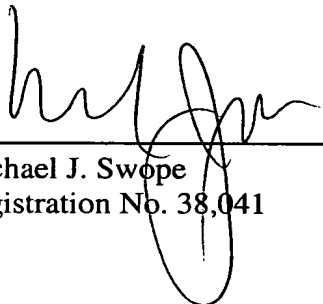
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☒ Direct all telephone calls to:

Michael J. Swope
WOODCOCK WASHBURN LLP
One Liberty Place - 46th Floor
Philadelphia PA 19103
Telephone No.: (215) 568-3100
Facsimile No.: (215) 568-3439

SHOULD ANY DEFICIENCIES APPEAR with respect to this application, including deficiencies in payment of fees, missing parts of the application or otherwise, the United States Patent and Trademark Office is respectfully requested to promptly notify the undersigned.

Date: February 4, 2004



Michael J. Swope
Registration No. 38,041

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